



PATENT  
ATTORNEY DOCKET NO.: UCSD1590

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Richard S. Kornbluth  
Application No.: 09/454,223  
Filed: December 9, 1999  
Title: MULTIMERIC FORMS OF THE TNF SUPERFAMILY LIGANDS

Art Unit: 1647  
Examiner: J. Seharaseyon

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with 37 C.F.R. § 1.97, enclosed are references relating to the above-identified application. Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. For the convenience of the Examiner, these references are listed on the attached Form PTO-1449. Copies of the references are enclosed.

It is respectfully requested that these references be considered in the examination of this application and their consideration be made of written record in the application file.

05/17/2004 SDENB0B1 00000093 09454223

01 FC:1806

180.00 OP

CERTIFICATION UNDER 37 CFR §1.8

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on May 12, 2004, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*Karen LePari*

Karen LePari

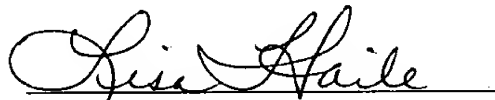
In the Application of:  
Richard S. Kornbluth  
Application No.: 09/454,223  
Filed: December 9, 1999  
Page 2

PATENT  
Attorney Docket No. UCSD1590

Check No. 559168 in the amount of \$180.00 is enclosed as filing fee for the Information Disclosure Statement. If any further fee is required, the Commissioner is hereby authorized to charge the amount of any such fee, or credit any overpayment, to Deposit Account No. 50-1355.

Respectfully submitted,

Date: May 12, 2004



Lisa A. Haile, J.D., Ph.D.  
Registration No. 38,347  
Telephone: (858) 677-1456  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, California 92121-2133  
USPTO Customer No. 28213



1647

PATENT  
ATTORNEY DOCKET NO.: UCSD1590

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Richard S. Kornbluth  
Application No.: 09/454,223  
Filed: December 9, 1999  
Title: MULTIMERIC FORMS OF THE TNF SUPERFAMILY LIGANDS

Art Unit: 1647  
Examiner: J. Seharaseyon

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL SHEET**

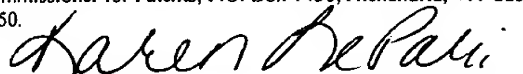
Sir:

Transmitted herewith for the above-identified application, please find:

1. Information Disclosure Statement (2 pages);
2. Form PTO-1449 (2 pages);
3. Eleven References;
4. Supplementary European Search Report (6 pages);
5. Check No.: 559168 in the amount of \$180.00; and
6. Return postcard.

CERTIFICATION UNDER 37 CFR §1.8

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on May 12, 2004, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Karen LePari

In the Application of:  
Richard S. Kornbluth  
Application No.: 09/454,223  
Filed: December 9, 1999  
Page 2

PATENT  
Attorney Docket No. UCSD1590

Check No. 559168 is enclosed in the amount of \$180.00 as the filing fee for the Information Disclosure Statement. If any additional fee is required, the Commissioner is hereby authorized to charge the amount of any such fee, or credit any overpayment, to Deposit Account No. 50-1355.

Respectfully submitted,

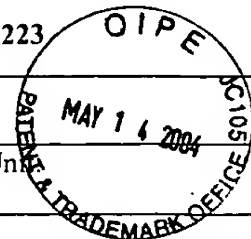
Date: May 12, 2004



Lisa A. Haile, J.D., Ph.D.  
Registration No. 38,347  
Telephone: (858) 677-1456  
Facsimile: (858) 677-1465

GRAY CARY WARE & FREIDENRICH LLP  
4365 Executive Drive, Suite 1100  
San Diego, California 92121-2133  
USPTO Customer No. 28213

<b>FORM PTO-1449</b> U.S. Department of Commerce Patent and Trademark Office	Docket No.: <b>UCSD1590</b>	Serial No.: <b>09/454,223</b>
	Applicant(s): <b>Richard S. Kornbluth</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	Filing Date: <b>December 9, 1999</b>	Group Art Unit: <b>1647</b>



### U.S. PATENT DOCUMENTS

EXAM. INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE

### FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION (YES/NO)
	AA WO 94/10308	05/11/1994	PCT			
	AB WO 99/04000	01/28/1999	PCT			
	AC WO 01/16180	03/08/2001	PCT			
	AD WO 01/49866	07/12/2001	PCT			

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages)

AE	Haswell et al., "Analysis of the oligomeric requirement for signaling by CD40 using multimeric forms of its ligand, CD154", <i>Eur. J. Immunol</i> , Vol. 31, pp. 3094-3100, (2001).
AF	Hoppe et al., "A parallel three stranded $\alpha$ -helical bundle at the nucleation site of collagen triple-helix formation", <i>FEBS Letters</i> , Vol. 344, pp. 191-195, (1994).
AG	Kishore et al., "Modular organization of proteins containing C1q-like globular domain", <i>Immunopharmacology</i> , Vol. 42, pp. 15-21, (1999).
AH	Kornbluth et al., "CD40L (CD154) fusion protein with pulmonary surfactant protein D as a prototype for soluble multimeric TNF superfamily ligand molecules", <i>FASEB Journal</i> , Vol. 14, No. 6, A1162, (2000).

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>FORM PTO-1449</b> U.S. Department of Commerce Patent and Trademark Office	Docket No.: <b>UCSD1590</b>	Serial No.: <b>09/454,223</b>
	Applicant(s): <b>Richard S. Kornbluth</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	Filing Date: <b>December 9, 1999</b>	Group Art Unit: <b>1647</b>



AI	Pound et al., "Minimal cross-linking and epitope requirements for CD40-dependent suppression of apoptosis contrast with those for promotion of the cell cycle and homotypic adhesions in human B cells", <i>International Immunology</i> , Vol. 11, No. 1, pp.11-20, (1999).
AJ	Sano et al., "Analysis of Chimeric Proteins Identifies the Regions in the Carbohydrate Recognition Domains of Rat Lung Collectins That Are Essential for Interactions with Phospholipids, Glycolipids, and Alveolar Type II Cells", <i>J. Biol. Chem</i> , Vol. 273, No. 8, pp. 4783-4789, (1998).
AK	Schneider et al, "Conversion of Membrane-bound Fas (CD95) Ligand to Its Soluble Form Is Associated with Downregulation of Its Proapoptotic Activity and Loss of Liver Toxicity", <i>J. Exp. Med.</i> , Vol. 187, No. 8, pp. 1205-1213, (1998).

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.